



Technical Assistance Report

Project Number: 51325-001
Knowledge and Support Technical Assistance (KSTA)
April 2018

Advancing Inclusive and Resilient Urban Development Targeted at the Urban Poor (Financed by the Urban Climate Change Resilience Trust Fund under the Urban Financing Partnership Facility)

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Asian Development Bank

ABBREVIATIONS

ADB	–	Asian Development Bank
BAPPENAS	–	National Development Planning Agency
CDD	–	community-driven development
DMC	–	developing member country
SARD	–	South Asia Department
SERD	–	Southeast Asia Department
UCCRTF	–	Urban Climate Change Resilience Trust Fund

GLOSSARY

Community-driven development	–	An approach that gives control over planning decisions and investment resources for local development to community groups (ADB. 2016. <i>Enhancing Community-Driven Development Through Convergence: A Case Study of Household- and Community-based Initiatives in Philippine Villages</i> . Manila).
Social protection	–	A set of policies and programs designed to reduce poverty and vulnerability by promoting efficient labor markets, reducing peoples' exposure to risks, and enhancing their capacity to protect themselves against hazards and interruption/loss of income (ADB. 2001. <i>Social Protection Strategy</i> . Manila).
Resilience	–	The ability of countries, communities, businesses, and individual households to resist, absorb, recover from, and reorganize in response to natural hazard events, without jeopardizing their sustained socioeconomic advancement and development (ADB. 2013. <i>Investing in Resilience: Ensuring a Disaster-Resistant Future</i> . Manila).

NOTE

In this report, "\$" refers to United States dollars.


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KNOWLEDGE AND SUPPORT TECHNICAL ASSISTANCE AT A GLANCE

1. Basic Data		Project Number: 51325-001	
Project Name	Advancing Inclusive and Resilient Urban Development Targeted at the Urban Poor	Department/Division	SDCC/SDCD
Nature of Activity	Capacity Development	Executing Agency	Asian Development Bank
Modality	Regular		
Country	REG (BAN, INO, PHI)		
2. Sector		ADB Financing (\$ million)	
	Subsector(s)	Total	0.00
3. Strategic Agenda		Climate Change Information	
Inclusive economic growth (IEG)	Pillar 2: Access to economic opportunities, including jobs, made more inclusive	Climate Change impact on the Project	Low
	Pillar 3: Extreme deprivation prevented and effects of shocks reduced (Social Protection)		
Environmentally sustainable growth (ESG)	Disaster risk management		
4. Drivers of Change		Gender Equity and Mainstreaming	
Governance and capacity development (GCD)	Client relations, network, and partnership development to partnership driver of change	Effective gender mainstreaming (EGM)	
Knowledge solutions (KNS)	Application and use of new knowledge solutions in key operational areas		
Partnerships (PAR)	Bilateral institutions (not client government)		
	Foundations		
	Official cofinancing		
5. Poverty and SDG Targeting		Location Impact	
Geographic Targeting	No	Not Applicable	
Household Targeting	No		
SDG Targeting	Yes		
SDG Goals	SDG1, SDG11, SDG13		
6. Risk Categorization		Low	
7. Safeguard Categorization		Safeguard Policy Statement does not apply	
8. Financing			
Modality and Sources		Amount (\$ million)	
ADB		0.00	
None		0.00	
Cofinancing		5.00	
Urban Climate Change Resilience Trust Fund under the Urban Financing Partnership Facility (Full ADB Administration)		5.00	
Counterpart		0.00	
None		0.00	
Total		5.00	

I. INTRODUCTION

1. The knowledge and support technical assistance (TA) will support selected developing member countries (DMCs) of the Asian Development Bank (ADB)—Bangladesh, Indonesia, and the Philippines—to strengthen their capacity to design and implement investment projects that strengthen the resilience of the urban poor, thereby advancing inclusive urban development. The support to DMCs will include (i) country studies to identify investment opportunities for strengthening resilience of the urban poor women and men, (ii) improved skills for using climate change and disaster risk information for developing resilience-building investments targeted at the urban poor, and (iii) project preparatory work with an explicit focus on strengthening the resilience of the urban poor.

2. The proposed technical assistance outputs are aligned with the development priorities of the DMCs, as reflected in their respective national development plans, and with ADB country partnership strategies.¹ The technical assistance will support the implementation of ADB's Climate Change Operational Framework,² which identifies urban resilience as one of the priorities.³

II. ISSUES

3. The lives of people in urban areas in Asia and the Pacific region have significantly improved in the last decade. However, for a sizable fraction of the urban population, the threat of poverty is far from over.⁴ The poor and particularly women, rely on fewer and more vulnerable assets and basic services, have limited access to finance, depend on informal livelihoods, have limited access to information, and are often left out from formal decision-making processes. Consequently, the urban poor are disproportionately exposed to various shocks and stresses—including the ones triggered by natural hazards and climate change—which result in loss of life, damage to assets, disruption of livelihoods, and loss of income. In many cases, these effects may require the urban poor to adopt negative coping strategies, that may impact their long-term well-being and further affect their poverty level. Thus, poverty and climate and disaster risks are closely interrelated: poverty contributing to high disaster and climate risks, and disaster and climate risks keeping people in poverty.⁵ The impacts of climate change and disasters also extend to the local governments, which suffer the increased burden of supporting a post-disaster response.

4. A key cause of the disproportionate impact faced by the urban poor women and men is the limited capacity of DMCs for strengthening resilience. This is due to limited (i) skills on using risk information for designing pro-poor resilience-building investments, (ii) knowledge of opportunities provided by different sectors in strengthening the resilience of the urban poor, and (iii) investments in resilience-building with an explicit focus on the urban poor. Resilience building

¹ Government of Bangladesh, Planning Commission. 2015. *Seventh Five-Year Plan, 2016–2020*. Dhaka; Government of Indonesia. 2015. *National Medium-term Development Plan, 2015–2019*. Jakarta; Government of the Philippines. 2017. *Philippine Development Plan, 2017–2022*. Manila; ADB. 2016. *Country Partnership Strategy: Bangladesh 2016–2020*. Manila; and ADB. 2016. *Country Partnership Strategy: Indonesia 2016–2019—Towards a Higher, More Inclusive and Sustainable Growth Path*. Manila.

² ADB. 2017. *Climate Change Operational Framework 2017–2030: Enhanced Actions for Low Greenhouse Gas Emissions and Climate-Resilient Development*. Manila

³ The technical assistance first appeared in the business opportunities section of ADB's website on 7 December 2017.

⁴ The urban poverty headcount ratio based on national poverty lines is 21.3% for Bangladesh (2010), 8.3% for Indonesia (2014), and 13.0% for the Philippines (2012). Source: United Nations. 2016. *World Cities Report 2016*. <http://wcr.unhabitat.org/main-report/>

⁵ For more information, refer to the World Bank. 2017. *Unbreakable: Building the Resilience of the Poor in the Face of Natural Disasters*. Washington DC.

may include investments in social protection⁶ (targeting poor households), which offer opportunities to strengthen livelihoods and skills and provide safety nets; investments using community-driven development (CDD) approaches⁷ (targeting poor communities), to deliver resilient infrastructure; and investments in urban governance⁸ (targeting urban local bodies), to integrate resilience considerations in decentralized processes. For example, after Typhoon Yolanda, the Philippines used the existing conditional cash transfer system to release the equivalent of about \$12.5 million in emergency funding. However, lessons learned reveal that introducing such responsive features requires advance planning, including ensuring access to financing required for scaling up. CDD projects have been used in the region to deliver post-disaster reconstruction related, such as after the 2004 tsunami in Indonesia. However, the wider potential for strengthening resilience through risk-informed targeting of CDD projects and using localized risk information to inform the selection, location, and construction of community infrastructure subprojects remains limited. Hence, investments to strengthen urban governance with an explicit focus on resilience outcomes targeted at the poor remain limited.

5. The DMCs recognize such gaps. For example, the Philippine Development Plan, 2017–2022, while acknowledging the contribution of the conditional cash transfer program to reducing poverty also highlights that the outcome would have been more pronounced if households were more resilient.⁹ Accordingly, the plan calls for the need to design social protection programs based on the systematic understanding of risk. The National Medium-Term Development Plan, 2015–2019 of Indonesia includes a target to meet 100% sanitation services (wastewater, drainage, and solid waste management) by 2019, a significant portion of which will be delivered through CDD approaches.¹⁰ Strengthening local governments and resilience is one of the priorities of the Seventh Five-Year Plan of the Government of Bangladesh.¹¹

6. Individually, social protection measures, CDD approaches, and improved local governance each provides distinct opportunities to strengthen resilience. When combined into a holistic approach to strengthening resilience, they can address issues related to livelihoods, household assets, community infrastructure, and governance. Such an approach echoes with lessons from ADB projects on strengthening resilience, which highlight the importance of (i) supporting approaches that allow communities, especially women, to lead resilience interventions in partnerships with local governments; (ii) undertaking investments at different levels—households, communities, and local governments—and including a suite of measures aimed at improving basic services, land administration system, livelihoods, human capital, and safety nets; and (iii) engaging DMC agencies in upstream work on pro-poor resilience building, thereby creating the enabling environment for the city governments and communities to act.¹²

⁶ Social protection programs are used in Bangladesh, Indonesia, and the Philippines for supporting households to manage a range of covariate shocks.

⁷ Community-driven development (CDD) approaches are being used to improve community-level infrastructure in Bangladesh, Indonesia, and the Philippines. CDD programs are ideal for strengthening resilience because they allow the adoption of a participatory process to identify local risks and address the root causes of vulnerability by improving the standards of the infrastructure and adopting risk-informed livelihoods.

⁸ Strengthening governance is critical for building resilience for the urban poor. For example, community participation in projects is critical to ensure that local risk issues are addressed; gender equity is essential for addressing risk issues related to the social roles of women; financial management is important to ensure that resources are allocated in a risk-informed manner; and accountability and transparency are critical to ensure that the poor and most vulnerable are targeted and will benefit from development interventions.

⁹ Government of the Philippines. 2017. *Philippine Development Plan, 2017–2022*. Manila.

¹⁰ Government of Indonesia. 2015. *National Medium-term Development Plan, 2015–2019*. Jakarta.

¹¹ Government of Bangladesh, Planning Commission. 2015. *Seventh Five-Year Plan, 2016–2020*. Dhaka.

¹² ADB. 2013. *Technical Assistance for Support to Community-based Disaster Risk Management in Southeast Asia*. Manila; ADB. 2015. *Quarterly Summary Report on Approved (A) Project Preparatory Technical Assistance Not Exceeding \$1,500,000; (B) Technical Assistance Projects Not Exceeding \$225,000; and (C) Technical Assistance*

III. THE TECHNICAL ASSISTANCE

A. Impact and Outcome

7. The technical assistance is aligned with the following impact: resilience of cities enhanced (Sustainable Development Goal 11).¹³ The technical assistance will have the following outcome: DMC capacity for resilience-building investments targeted at the urban poor improved.¹⁴

B. Outputs, Methods, and Activities

8. **Output 1: Country studies to identify opportunities for strengthening the resilience of the urban poor completed.** Under this output, the project team will (i) analyze national or regional urban poverty in the context of climate and disaster risk; (ii) review urban poverty reduction programs and their linkages with social protection, community-driven development, and urban local governance programs to identify lessons learned and challenges in the context of strengthening resilience; (iii) identify opportunities for strengthening the resilience of the urban poor through a portfolio of investments targeted at households, community, and local governments; and (iv) provide recommendations for potential investment projects with an explicit focus on strengthening the resilience of the urban poor, including recommendations for appropriate financing modality (such as project financing vs. results-based lending).

9. Activities under output 1 will include a review of good practices of government programs for strengthening resilience of urban poor; close consultation with DMC agencies responsible for planning and finance, urban development, climate change, disaster risk management, social protection, and governance; consultations with selected city governments; and discussions with development partners and civil society organizations. The activities will also include a risk assessment to better understand linkages between current and future climate and disaster risk and urban poverty to improve geographical targeting of future investments on urban poverty reduction; and social and poverty assessments of urban poor households to understand issues (land, housing, community infrastructure, livelihoods, access to information, participation of women and vulnerable population in decision-making, access to finance) in the context of resilience. The recommendations emerging from the output will inform discussions in the context of national or regional development plans, country partnership strategies, and country knowledge plans.¹⁵

Cluster Subprojects (October–December 2014). Manila (TA 8868). ADB. 2015. *Technical Assistance for Establishing the Future Cities Program in the Asia and Pacific Region.* Manila; ADB. 2014. *Technical Assistance for Financing Low-Carbon Climate-Resilient Urban Infrastructure in Asia and the Pacific.* Manila; ADB. ADB 2015. *Promoting Urban Climate Change Resilience in Selected Asian Cities.* Manila; ADB. 2014. *Grant Assistance Report: Proposed Grant Assistance to the Republic of the Union of Myanmar: Pro-Poor Community Infrastructure and Basic Services.* Manila; and ADB. 2012. *Technical Assistance to the Philippines for Support to Local Government Revenue Generation and Land Administration Reforms.* Manila.

¹³ United Nations. 2015. *Transforming Our World: The 2030 Agenda for Sustainable Development.* New York.

¹⁴ The design and monitoring framework is in Appendix 1.

¹⁵ For example, during the technical assistance fact-finding discussions in December 2017–January 2018, the National Development Planning Agency (BAPPENAS) in Indonesia and the National Economic Development Authority in the Philippines highlighted the potential of output 1 in informing the development and update of national development plans. Further, in the case of the Philippines, the discussions with the Department of Social Welfare and Development highlighted that the output can contribute to the successor program of the National Community-driven Development Program, and resilience-related programs of development partners, such as community-based disaster response program supported by the Government of Australia. The discussion with Bangladesh government highlighted that output 1 could support the Dhaka Region Development Authority or other planning institutions in preparation of the urban programs.

10. **Output 2: Skills for using climate change and disaster risk information for designing pro-poor resilience-building investments improved.** Based on the recommendations of output 1, each DMC will identify capacity building activities for implementation under output 2. The objective of the activities will be to strengthen the capacity of DMCs to use climate change and disaster risk information in the design of pro-poor resilience-building investments with a particular focus on (i) understanding climate and disaster risk for improving the targeting of pro-poor resilience-building investment projects; (ii) designing standards for resilient community infrastructure; and (iii) strengthening partnerships between grassroots organizations, especially women's groups and local governments, to create space for communities to lead actions.

11. The exact nature of activities will differ in each DMC and will broadly include undertaking training programs on the use of risk information for designing pro-poor investments in urban areas; organizing workshops and consultations to review design standards of community infrastructure; undertaking surveys to incorporate resilience considerations in relevant databases (land administration, social protection, and poverty); and developing resilience indicators and collecting necessary baseline. The activities may be implemented nationwide or for specific urban areas, depending on urban poverty trend, the level of climate and disaster risk, the existence of social protection, and/or community-driven development projects.¹⁶

12. **Output 3: Preparatory work for investment projects with an explicit focus on strengthening the resilience of urban poor supported.** Based on the findings of outputs 1 and 2, this output will contribute to potential transaction technical assistance work in at least two selected DMCs for potential investments with an explicit focus on strengthening the resilience of the urban poor. The potential investments could have the primary objective of strengthening the resilience of the urban poor or mainstreaming resilience considerations in wider investments in urban poverty reduction, social protection in urban areas, women's empowerment in urban areas, CDD in urban areas, and governance and decentralization.¹⁷ The activities will include project-specific assessments, analyses, and surveys to support the design of projects.

C. Cost and Financing

13. The technical assistance is estimated to cost \$5,000,000, which will be financed on a grant basis by the Urban Climate Change Resilience Trust Fund (UCCRTF) under the Urban Financing Partnership Facility and administered by ADB.¹⁸ The key expenditure items are listed in Appendix 2.

14. Under the UCCRTF Implementation Guidelines, technical assistance funds can be used for consulting services, equipment, and works.¹⁹

¹⁶ The activities will draw linkages with ongoing and proposed activities in DMCs, such as the climate change projections being developed by BAPPENAS, Indonesia, and the development of resilient communities' indicators by the National Economic Development Authority, Philippines. The activities will draw linkages from other initiatives supported by the Urban Climate Change Resilience Trust Fund, including community-led pilots, a spatial application facility, and the Resilience Academy, which is a consultative workshop to design urban resilience projects.

¹⁷ For example, in the Philippines, the output could contribute to potential future phases of ADB-supported Regional Development Project in the Philippines (ADB. 2017. *Country Operations Business Plan: Philippines 2018–2020*. Manila). In Bangladesh, the output could contribute to the TA-Loan Preparing Urban Development Projects proposed for 2019, and the Second Coastal Towns Environmental Infrastructure Improvement Project proposed for 2020 (ADB. 2017. *Country Operations Business Plan: Philippines 2018–2020*. Manila).

¹⁸ Financing partners: the Rockefeller Foundation and the governments of Switzerland and the United Kingdom.

¹⁹ Works may include (i) economic and sector work; (ii) capacity-building and analytical work; (iii) development and preparation of projects for investment; (iv) sharing of project development costs for investment in combination with other government, development partner, and commercial funding; (v) transfer of technology, knowledge, and

D. Implementation Arrangements

15. ADB will administer the technical assistance. The Sustainable Development and Climate Change Department (SDCC) will implement outputs 1 and 2, in partnership with the South Asia Department (SARD) and Southeast Asia Department (SERD). SARD and SERD will implement output 3. Where relevant, SARD, SERD, and the SDCC will provide staff to act as the resource persons in the workshops. Government focal points will be decided during the inception stage.²⁰

16. The implementation arrangements are summarized in the table.

Implementation Arrangements			
Aspects	Arrangements		
Indicative implementation period	March 2018–December 2021		
Executing agency	Asian Development Bank (ADB)		
Implementing agencies	Sustainable Development and Climate Change Department (SDCC), South Asia Department (SARD), Southeast Asia Department (SERD). SDCC will be responsible for the administration of the technical assistance.		
Consultants	To be selected and engaged by ADB		
	Consultant's qualifications selection	Package 1	\$970,500
	Individual selection	2 international (6 person-months) 16 national (85 person-months)	\$681,650
	Quality- and cost-based selection	Package 2 and 3	\$2,600,800
Advance contracting	The contract for output 1 consulting firm is being proposed for advance contracting.		
Disbursement	The TA resources will be disbursed following ADB's <i>Technical Assistance Disbursement Handbook</i> (2010, as amended from time to time).		

Source: Asian Development Bank.

17. **Consulting services.** ADB will engage the consultants following the ADB Procurement Policy (2017, as amended from time to time) and its associated project administration instructions and/or staff instructions.²¹ Output-based contracts will be considered where appropriate.

18. **Cofinancier requirements.** For a technical assistance project, UCCRTF requires that activities related to consultations and capacity building report against disaggregated data.

IV. THE PRESIDENT'S DECISION

19. The President, acting under the authority delegated by the Board, has approved the Asian Development Bank administering technical assistance not exceeding the equivalent of \$5,000,000 to be financed on a grant basis by the Urban Climate Change Resilience Trust Fund under the Urban Financing Partnership Facility for Advancing Inclusive and Resilient Urban Development Targeted at the Urban Poor, and hereby reports this action to the Board.

experience; (vi) building the capacity of market actors in implementing climate-resilient urban investments; (vii) commercialization of new finance instruments for climate-resilient urban infrastructure; (viii) formulation and implementation of policies, regulations, standards, capacity building; or soft projects, such as early warning, and other critical measures that are nonrevenue generating.

²⁰ Discussions with the governments highlighted the need for central planning agencies to be closely involved in the technical assistance due to the multisectoral nature of urban poverty and climate and disaster risk. In Indonesia, the agencies have identified BAPPENAS to be the technical assistance focal agency.

²¹ Terms of Reference for Consultants (accessible from the list of linked documents in Appendix 3). Full terms of reference are provided for output 1 consultants. The terms of reference for output 2 and 3 consultants will be detailed at a later stage based on recommendations emerging from output 1.

DESIGN AND MONITORING FRAMEWORK

[illegible]

Results Chain	Performance Indicators with Targets and Baselines	Data Sources and Reporting Mechanisms	Risks
3. Preparatory work for investment projects with an explicit focus on strengthening the resilience of urban poor supported	3a. By 2021, transaction technical assistance work in two DMCs undertaken (2017 baseline: None)	3a. Project preparatory reports	
Key Activities with Milestones <ol style="list-style-type: none"> 1. Country studies to identify opportunities for strengthening the resilience of the urban poor completed <ol style="list-style-type: none"> 1.1 Undertake review of global good practice on government programs on resilience for the urban poor (Q2 2018) 1.2 Conduct consultations with government agencies at the national level, selected city governments, development partners, and civil society organizations (Q3 2018) 1.3 Undertake climate and disaster risk assessment in the context of urban poverty (Q3 2018) 1.4 Undertake survey of urban poor households (Q4 2018) 1.5 Undertake national and regional workshop to present findings, identify gaps, and formulate recommendations (Q1 2019) 2. Skills for using climate change and disaster risk information for designing pro-poor resilience-building investments improved <ol style="list-style-type: none"> 2.1 Identify capacity-building needs for DMC agencies and stakeholders for designing, implementing, monitoring, and evaluating investments to build resilience of the urban poor (Q4 2018–Q1 2019) 2.2 Undertake national capacity-building activities for DMC agencies (Q2–Q3 2019) 3. Preparatory work for investment projects with an explicit focus on strengthening the resilience of urban poor supported <ol style="list-style-type: none"> 3.1 Identify projects for project preparatory support (Q2 2019) 3.2 Support transaction technical assistance projects through assessments, analyses, and surveys (Q4 2019–Q4 2021) 			
Inputs Urban Climate Change Resilience Trust Fund under the Urban Financing Partnership Facility: \$5 million			
Assumptions for Partner Financing Not applicable			

^a United Nations. 2015. *Transforming Our World: The 2030 Agenda for Sustainable Development*. New York. Source: Asian Development Bank.

COST ESTIMATES AND FINANCING PLAN

(\$'000)

Item	Amount
Urban Climate Change Resilience Trust Fund^a	
1. Consultants	
a. Remuneration and per diem	
i. International consultants	2,089.55
ii. National consultants	998.15
b. Out-of-pocket expenditures	
i. International and local travel	490.00
ii. Surveys	175.00
iii. Training, seminars, and conferences	370.00
iv. Reports and communications	90.00
v. Miscellaneous administration and support costs ^b	40.25
2. Surveys	88.80
3. Training, seminars, workshops, forum, and conferences	
a. Facilitators	125.00
b. Travel cost of ADB staff acting as a resource person	45.00
c. Venue rental and related facilities	100.00
d. Participants	180.00
4. Contingencies	208.25
Total	5,000.00

ADB = Asian Development Bank.

Note: The technical assistance is estimated to cost \$5,000,000, of which contributions from the Urban Climate Change Resilience Trust Fund are presented in the table above.

^a Financing partners: the Rockefeller Foundation and the governments of Switzerland and the United Kingdom. Administered by the Asian Development Bank.

^b Includes TA office operating costs (i.e., electricity, internet, stationery, fax, and telephone charges), and interpretation and translation costs.

Source: Asian Development Bank estimates.

LIST OF LINKED DOCUMENTS

<http://www.adb.org/Documents/LinkedDocs/?id=51325-001-TARreport>

1. Terms of Reference for Consultants